1. 10

Express Mail Label No.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE **DECLARATION FOR PATENT APPLICATION**

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am an original, first and joint inventor of the subject matter which is described and claimed and for which a patent is sought on the invention entitled:

STRUCTURE AND METHOD FOR CREATING TRADEABLE FINANCIAL UNITS

the specification of which is attached hereto.

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by an amendment, if any, specifically referred to herein. I do not know and do not believe that the same was ever known or used in the United States of America before my or our invention thereof or patented or described in any printed publication in any country before my or our invention thereof, or more than one year prior to this application, or in public use or on sale in the United States of America more than one year prior to this application, that the invention has not been patented or made the subject of an inventor's certificate issued before the date of this application in any country foreign to the United States of America on an application filed by me or my legal representatives or assigned more than twelve months prior to this application.

I acknowledge the duty to disclose all information known to me that is material to patentability in accordance with Title 37, Code of Federal Regulations, § 1.56.

FOREIGN PRIORITY CLAIM

I hereby claim foreign priority benefits under Title 35, United States Code § 119(a)-(d) of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

JESSICS KOCMBN

x	no such foreign applications have been filed
	such foreign application have been filed as follows:

41 I. I I I

Attorney Docket No.: 20107/1200838-USI

EARLIEST FOREIGN APPLICATION(S), IF ANY FILED WITHIN 12 MONTHS (6 MONTHS FOR DESIGN) PRIOR TO THIS U.S. APPLICATION

Application Number	Country	Date of Filing	Priority Claimed Under 35 USC 119
			Yes No
			Yes No
			Yes No

ALL FOREIGN APPLICATION(S), IF ANY FILED MORE THAN 12 MONTHS (6 MONTHS FOR DESIGN) PRIOR TO THIS U.S. APPLICATION

Application Number	Country	Date of Filing
		

CLAIM FOR BENEFIT OF EARLIER U.S. PROVISIONAL APPLICATIONS

I hereby claim priority benefits under Title 35, United States Code §119(e), of any United States provisional patent application(s) listed below:

no such	U.S.	provisional	applications	have	been	filed.
			- F F			

x such U.S. provisional application have been filed as follows:

Application Number	Date of Filing	Priority Claimed Under 35 USC 119
60/539,526	January 26, 2004	× Yes No
		Yes No
	·	Yes No

CLAIM FOR BENEFIT OF EARLIER U.S./PCT APPLICATION(S)

I hereby claim the benefit under Title 35, United States Code, §120 of the United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose all information that is material to patentability in accordance with Title 37, Code of Federal Regulations, §1.56 which became available to me between the filing date of the prior application and the national or PCT international filing date of this application:

{W:\20107\1200838us1\00162297.DOC | 個面器頂對磁系資訊低級回訊區 }

x no such U.S./PCT applications have been filed.

such U.S./PCT application have been filed as follows:

Application Number	Date of Filing	Status (Patented/Pending/Abandoned)
	-	

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

I hereby appoint the practitioners under Customer Number

07278

jointly, and each of them severally, my attorneys at law/patent agent(s), with full power of substitution, delegation and revocation, to prosecute this application, to make alterations and amendments therein, to receive the patent, and to transact all business in the U. S. Patent and Trademark Office connected therewith.

Please mail all correspondence to Melvin C. Gamer, whose address is:

Darby & Darby P.C. P.O. Box 5257 New York, New York 10150-5257

Please direct telephone calls to: Melvin C. Garner at (212) 527-7717.

Please direct facsimiles to: (212) 753-6237

{W:\20107\1200838us1\00162297.DOC 網程照其限數理配置實際實際報酬 }

Full name of sole or first inventor	1
Earl Rotman	Their
Sule or instrinventor's signature	Date 28/04
	41/1C C 3/07
Residence	t (
Toronto, Canada	
Citizenship Canada	
Mailing Address	
87 Old Forest Hill Road	
Toronto, Ontario MSP 2R6	
CANADA	
E. II of assard inventor (fany	
Full name of second inventor, if any	
William S. Schreier	Date
Second inventor's signature	
Residence	
New York, New York	
Citizenship US Mailing Address	
Maine Vones	
141 East 88th Street	
New York, New York 10128	
Full name of third inventor, if any	
Jeffrey Berson	
Third inventor's signature	Date
Residence	
Mamaroneck, New York	
Citizenship US	
Mailing Address	
27 Stonewall Lane	
Mamaroneck, New York 10543	
Full name of fourth inventor, if any	
	Date
Fourth inventor's signature	
Residence	
Citizenship	
Mailing Address	

Express Mail Label No.	Dated:	

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE DECLARATION FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am an original, first and joint inventor of the subject matter which is described and claimed and for which a patent is sought on the invention entitled:

STRUCTURE AND METHOD FOR CREATING TRADEABLE FINANCIAL UNITS

the specification of which is attached hereto.

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by an amendment, if any, specifically referred to herein. I do not know and do not believe that the same was ever known or used in the United States of America before my or our invention thereof or patented or described in any printed publication in any country before my or our invention thereof, or more than one year prior to this application, or in public use or on sale in the United States of America more than one year prior to this application, that the invention has not been patented or made the subject of an inventor's certificate issued before the date of this application in any country foreign to the United States of America on an application filed by me or my legal representatives or assigned more than twelve months prior to this application.

I acknowledge the duty to disclose all information known to me that is material to patentability in accordance with Title 37, Code of Federal Regulations, § 1.56.

FOREIGN PRIORITY CLAIM

I hereby claim foreign priority benefits under Title 35, United States Code § 119(a)-(d) of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

X	no such foreign applications have been filed
	such foreign application have been filed as follows:

EARLIEST FOREIGN APPLICATION(S), IF ANY FILED WITHIN 12 MONTHS (6 MONTHS FOR DESIGN) PRIOR TO THIS U.S. APPLICATION

Application Number	Country	Date of Filing	Priority Claimed Under 35 USC 119
			Yes No
			Yes No
			Yes No

ALL FOREIGN APPLICATION(S), IF ANY FILED MORE THAN 12 MONTHS (6 MONTHS FOR DESIGN) PRIOR TO THIS U.S. APPLICATION

_	

CLAIM FOR BENEFIT OF EARLIER U.S. PROVISIONAL APPLICATIONS

I hereby claim priority benefits under Title 35, United States Code §119(e), of any United
States provisional patent application(s) listed below:	

	_								
1	l no	cuch	TTC	provisional	annlic	ations	have	heen	filed
	1 110	onom.		DIO A revoluti	appuc	auono	33C1 V C	OCCIL	TITAM.

i	x	such IIS.	provisional	application	have be	en filed as	follows
	A	Sucii C.S.	hto arginitat	application	maye uc	ch micu as	TOHOWS.

Application Number	Date of Filing	Priority Claimed Under 35 USC 119	
60/539,526	January 26, 2004	x Yes No	
		Yes No	
		Yes No	

CLAIM FOR BENEFIT OF EARLIER U.S./PCT APPLICATION(S)

I hereby claim the benefit under Title 35, United States Code, §120 of the United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose all information that is material to patentability in accordance with Title 37, Code of Federal Regulations, §1.56 which became available to me between the filing date of the prior application and the national or PCT international filing date of this application:

TO 97536237

x	no such U.S./PCT applications have been filed.	
	such U.S./PCT application have been filed as follows:	

Date of Filing	Status (Patented/Pending/Abandoned)
	Date of Filing

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

I hereby appoint the practitioners under Customer Number

07278

jointly, and each of them severally, my attorneys at law/patent agent(s), with full power of substitution, delegation and revocation, to prosecute this application, to make alterations and amendments therein, to receive the patent, and to transact all business in the U. S. Patent and Trademark Office connected therewith.

Please mail all correspondence to Melvin C. Garner, whose address is:

Darby & Darby P.C. P.O. Box 5257 New York, New York 10150-5257

Please direct telephone calls to: Melvin C. Garner at (212) 527-7717.

Please direct facsimiles to: (212) 753-6237

ull name of sole or first inventor Carl Rotman	
earl Rouman	Date
AIC Of the military a artificence	
Lesidence	
Foronto, Canada	
Citizenship Canada	
Mailing Address	
37 Old Forest Hill Road	
Foronto, Ontario M5P 2R6	
CANADA	
Full name of second inventor, if any	
William S. Schreier	
Second investor's signature S. Selli-	Date 4/27/2004
Residence	•
New York, New York	
Citizenship US	
Mailing Address	
141 East 88th Street New York, New York 10128	
New York, New York 10128 Full name of third inventor, if any	
New York, New York 10128 Full name of third inventor, if any Jeffrey Berson	I Date
New York, New York 10128 Full name of third inventor, if any	Date
New York, New York 10128 Full name of third inventor, if any Jeffrey Berson	Date
New York, New York 10128 Full name of third inventor, if any Jeffrey Berson Third inventor's signature Residence	Date
New York, New York 10128 Full name of third inventor, if any Jeffrey Berson Third inventor's signature	Date
New York, New York 10128 Full name of third inventor, if any Jeffrey Berson Third inventor's signature Residence Mamaroneck, New York	Date
New York, New York 10128 Full name of third inventor, if any Jeffrey Berson Third inventor's signature Residence Mamaroneck, New York Citizenship US	Date
Full name of third inventor, if any Jeffrey Berson Third inventor's signature Residence Mamaroneck, New York Citizenship US Mailing Address 27 Stonewall Lane	Date
Full name of third inventor, if any Jeffrey Berson Third inventor's signature Residence Mamaroneck, New York Citizenship US Mailing Address 27 Stonewall Lane Mamaroneck, New York 10543	Date
Full name of third inventor, if any Jeffrey Berson Third inventor's signature Residence Mamaroneck, New York Citizenship US Mailing Address 27 Stonewall Lane Mamaroneck, New York 10543 Full name of fourth inventor, if any	
Full name of third inventor, if any Jeffrey Berson Third inventor's signature Residence Mamaroneck, New York Citizenship US Mailing Address 27 Stonewall Lane Mamaroneck, New York 10543 Full name of fourth inventor, if any Fourth inventor's signature	
Full name of third inventor, if any Jeffrey Berson Third inventor's signature Residence Mamaroneck, New York Citizenship US Mailing Address 27 Stonewall Lane Mamaroneck, New York 10543 Full name of fourth inventor, if any Pourth inventor's signature Residence	
Full name of third inventor, if any Jeffrey Berson Third inventor's signature Residence Mamaroneck, New York Citizenship US Mailing Address 27 Stonewall Lane Mamaroneck, New York 10543 Full name of fourth inventor, if any Fourth inventor's signature Residence Citizenship	

A - 11 obel No	Daled:
Express Mail Label No.	

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

DECLARATION FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am an original, first and joint inventor of the subject matter which is described and claimed and for which a patent is sought on the invention entitled:

STRUCTURE AND METHOD FOR CREATING TRADEABLE FINANCIAL UNITS

the specification of which is attached hereto.

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by an amendment, if any, specifically referred to herein. I do not know and do not believe that the same was ever known or used in the United States of America before my or our invention thereof or patented or described in any printed publication in any country before my or our invention thereof, or more than one year prior to this application, or in public use or on sale in the United States of America more than one year prior to this application, that the invention has not been patented or made the subject of an inventor's certificate issued before the date of this application in any country foreign to the United States of America on an application filed by me or my legal representatives or assigned more than twelve months prior to this application.

I acknowledge the duty to disclose all information known to me that is material to patentability in accordance with Title 37, Code of Federal Regulations, § 1.56.

FOREIGN PRIORITY CLAIM

I hereby claim foreign priority benefits under Title 35, United States Code § 119(a)-(d) of any I hereby claim foreign priority benefits under Title 35, United States Code § 119(a)-(d) of any I hereby claim foreign application(s) for patent or inventor's certificate having a filing date before	
forcign application(s) for patent of inventor's certificate having a filing date before	
* . I / foreign orinication to patent of the foreign	
that of the application on which priority is claimed:	
Inal of the approximation	

X	no such foreign applications have b	een med
	such foreign application have been	filed as follows:

EARLIEST FOREIGN APPLICATION(S), IF ANY FILED WITHIN 12 MONTHS (6 MONTHS FOR DESIGN) PRIOR TO THIS U.S. APPLICATION

Application Number	Country	Date of Filing	Priority Claimed Under 35 USC 119
Application			Yes No
			Yes No
			Ycs No
1			

ALL FOREIGN APPLICATION(S), IF ANY FILED MORE THAN 12 MONTHS (6 MONTHS FOR DESIGN) PRIOR TO THIS U.S. APPLICATION

Application Number	Country	Date of Filing

CLAIM FOR BENEFIT OF BARLIER ILS. PROVISIONAL APPLICATIONS

I hereby claim priority benefits under Title 35, United States Code §119(c), of any United States provisional patent application(s) listed below:

no such U.S. provisional applications have been filed.

[x] such U.S. provisional application have been filed as follows:

Application Number	Date of Filing	Priority Claimed Under 35 USC 119
60/539,526	Јапинту 26, 2004	X Yes No
		Yes No
	·	Yes No

CLAIM FOR BENEFIT OF EARLIER U.S./PCT APPLICATION(S)

I hereby claim the benefit under Title 35, United States Code, §120 of the United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose all information that is material to patentability in accordance with Title 37, Code of Federal Regulations, §1.56 which became available to me between the filing date of the prior application and the national or PCT international filing date of this application:

2

P.05/06

x no such U.S./PCT applications have been filed.	
such U.S./PCT application have been filed as follo	yys;

Application Number	Date of Filing	Status (Patented/Pending/Abandoned)

I hereby declars that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

I hereby appoint the practitioners under Customer Number

07278

jointly, and each of them severally, my attorneys at law/patent agent(s), with full power of substitution, delegation and revocation, to prosecute this application, to make alterations and amendments therein, to receive the patent, and to transact all business in the U. S. Patent and Trademark Office connected therewith.

Please mail all correspondence to Melvin C. Garner, whose address is:

Darby & Darby P.C. P.O. Box 5257 New York, New York 10150-5257

Please direct telephone calls to: Melvin C. Garner at (212) 527-7717.

Please direct facsimiles to: (212) 753-6237

ne of tole or list inventor Robittan	Date
first inventor's signature	
1	
onto, Canada	
coship Canada	
ing Address	
out Rosest Hill Road	
twite, Onterio MSP 2R6	
NADA	
name of second inventor, if any	
illinm S. Schreier	Date
ond inverses a signature	
sidence	
ew York, New York	
tizematip IJS	
alling Address	
41 East 88th Street	
lew York, New York 10128	
	,
all name of third inventor, if any	I Date 1 act cat
effrey Berson	Date 128/04
Tille new	
1000	
Mamaroneck, New York	
Citizenship US	
Mailing Address	
27 Stonewall Lane	
27 Stonewall Lain. Mamaroneck, New York 10543	
TA Shirt years and the same of	
Full name of fourth inventor, if any	
	Date
Fourth arventor's a grunture	
Keligues	
Citizenship	
Mailing Address	

TOTAL P. 06